



**UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
09/006,839	01/12/98	SIDIKMAN	P C0464.093809

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EXAMINER

KAZIMI, H

ART UNIT	PAPER NUMBER
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2765

DATE MAILED:

09/16/99

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

Office Action Summary

Application No.
09/006,839

Applicant(s)
Sidikman et al.

Examiner
Hani Kazimi

Group Art Unit
2765



☒ Responsive to communication(s) filed on Jan 12, 1999

☐ This action is FINAL.

☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

A shortened statutory period for response to this action is set to expire 3 month(s), or thirty days, whichever is longer, from the mailing date of this communication. Failure to respond within the period for response will cause the application to become abandoned. (35 U.S.C. § 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Disposition of Claims

☒ Claim(s) 19-38 is/are pending in the application.

Of the above, claim(s) _____ is/are withdrawn from consideration.

☐ Claim(s) _____ is/are allowed.

☒ Claim(s) 19-38 is/are rejected.

☐ Claim(s) _____ is/are objected to.

☐ Claims _____ are subject to restriction or election requirement.

Application Papers

☒ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.

☐ The drawing(s) filed on _____ is/are objected to by the Examiner.

☒ The proposed drawing correction, filed on Sep 16, 1998 is ☒ approved ☐ disapproved.

☒ The specification is objected to by the Examiner.

☒ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

☐ All ☐ Some* ☐ None of the CERTIFIED copies of the priority documents have been

☐ received.

☐ received in Application No. (Series Code/Serial Number) _____.

☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

*Certified copies not received: _____

☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

☒ Notice of References Cited, PTO-892

☒ Information Disclosure Statement(s), PTO-1449, Paper No(s). 3, and 4

☐ Interview Summary, PTO-413

☒ Notice of Draftsperson's Patent Drawing Review, PTO-948

☐ Notice of Informal Patent Application, PTO-152

--- SEE OFFICE ACTION ON THE FOLLOWING PAGES ---

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DETAILED ACTION

1. This application has been reviewed. The objections, and rejections cited are as stated below:

Status of Claims

2. This application has been reviewed. Of the original claims 1-18, claims 1-18 have been canceled without prejudice or disclaimer in the amendment filed on January 12, 1998, and claims 22-41 have been added in the same amendment. However, since the original claims were 1-18, the added claims 22-41 have been renumbered as 19-38 according to 37 C.F.R. 1.126. Therefore, claims 19-38 are under prosecution in this application.

Information Disclosure Statement

3. The Office has received two Information Disclosure Statement on January 12, 1998 for application serial No. 09/006,839 for Applicant Paul Sidikman et al along with an attached PTO-1449. However, the serial numbers and the Attorney's docket numbers do not match the information on the transmittal letter. Examiner assumed that the heading information listed on the PTO-1449 including the Attorney,s docket numbers are an inadvertent error. Therefore, the Examiner corrected the heading information on the PTO-1449 according to the transmittal letters. Please advise the Examiner if the heading information is incorrect.

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Oath/Declaration

4. The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

The oath or declaration is defective because:

It does not state that the person making the oath or declaration in a continuation-in-part application filed under the conditions specified in 35 U.S.C. 120 which discloses and claims subject matter in addition to that disclosed in the prior copending application, acknowledges the duty to disclose to the Office all information known to the person to be material to patentability as defined in 37 CFR 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application, and

It does not indicate the dates of the inventors signatures.

Drawings

5. The proposed drawing corrections and/or the proposed substitute sheets of drawings, filed on September 16, 1998 have been approved.

Specification

6. The disclosure is objected to because of the following informalities:

A portion of the disclosure of this Patent application contains material which is subject to

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Copyright protection. The Copyright authorization has been noted. However, there is no indication of what portions of the document in the application has been copyrighted.

Appropriate correction is required.

Claim Objections

7. Claims 19-37 are objected to because of the following informalities:

On the second page of claim 19, line 2, “ --- of obtain --- ” should be corrected to “ --- to obtain --- ”. Appropriate correction is required.

Claim Rejections - 35 USC § 112

8. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

9. Claims 19-37 are rejected under 35 U.S.C. § 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

In particular, claim 19 recite in the limitations “ --- the securities function group --- ”, “ --- the information type group --- ”, and “ --- the trading request --- ”. There is insufficient antecedent basis for these limitation in the claims. Appropriate correction is required.

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Claim Rejections - 35 USC § 102

10. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

11. Claim 38 is rejected under 35 U.S.C. 102(e) as being anticipated by "Trade it Yourself Bank Machines Make a Debut Securities", Los Angeles Times, October 6, 1994, (hereinafter Trade it Yourself).

Claim 38, (Trade it Yourself) discloses a system for a user at an automatic teller machine to obtain securities information and transactions, (page 1), comprising:

means for the user to select the option to perform securities functions (page 1);

means to prompt the user to select a securities function (page 1);

means for the user to select a securities function (page 1);

means to whether the user has established a linked brokerage account (page 1); and

means to perform securities functions (page 1).

Conclusion

12. The prior art made of record and not relied upon is considered pertinent to applicant's

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disclosure.

a) "Banks developing ATMs that make stock trades Anonymous", Bank Letter, v8, n38, p1, 11-12, Sep 24, 1984.

b) American Banker "ATMs May Give Banks Added Firepower in Funds War", Investment Products, vol. 158, No. 77, pg. 1, Apr 23, 1993.

c) American Banker "Wells Fargo Lets Customers Use ATMs to Buy and Redeem its Equity Funds", Investment Products, vol. 158, No. 156, pg. 10, Aug 16, 1993.

13. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Hani Kazimi whose telephone number is (703) 305-1061. The examiner can normally be reached Monday-Friday from 8:30 AM to 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Allen MacDonald, can be reached at (703) 305-9708.

The fax number for Formal or Official faxes to Technology Center 2700 is (703) 308-9051 or 9052. Draft or Informal faxes for this Art Unit can be submitted to (703) 308-5357.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-3900.

Hani.Kazimi.

September 10, 1999



ALLEN R. MACDONALD
SUPERVISORY PATENT EXAMINER